

Nebraska Department of Insurance

1526 K Street, Suite 200

Lincoln, NE 68509

(402) 471-2201



INFORMATION REQUIRED FOR THE CHANGE IN OWNERSHIP OF A PRE-NEED SELLER

Pursuant to the Nebraska Burial Pre-Need Sale Act, see NEB. REV. STAT. §§ 12-1101 to 1121, the change in ownership of a licensed Pre-Need Seller necessitates the completion of this form and may require the pre-need seller to submit a new application for licensure in the manner consistent with the provisions of NEB. REV. STAT. § 12-1108.

SECTION 1

Please check one of the applicable options and fill out the corresponding section(s) of this form.

1) A licensed Pre-Need Seller acquires another licensed Pre-Need Seller and chooses to incorporate the acquired entity as a branch location operating under the license of the acquiring entity.

If this box is checked, please complete this form in its entirety.

2) A licensed Pre-Need Seller is acquired by either a licensed or an unlicensed entity, and is going to remain a separately licensed entity.

If this box is checked, please complete this form in its entirety and submit a new Pre-Need Seller application.*

*The Pre-Need Seller application can be found at the following link: http://www.doi.ne.gov/exam/Pre-Need_Seller_Application.pdf

PLEASE NOTE: Any change in officers, directors, members, trustees, or ownership percentage, even if not involving a purchase or acquisition, requires the completion of the Company Personnel Change Form.

SECTION 2

Please attach the following items to this form:

1) If a change in ownership of a licensed Pre-Need Seller has occurred, please provide a copy of the purchase agreement, and/or other documentation pertaining to the acquisition of said entity, which sufficiently details the conditions under which the change in ownership occurred.

2) Remit the Pre-Need Seller license of the acquired entity, along with all active Pre-Need Agent licenses tied to that Pre-Need Seller.

3) Submit a complete listing of all pre-need trust contracts outstanding on the date of acquisition. The listing should be signed by the previous owner and a public notary, and should include the following information for each contract:

- | | |
|--|---|
| 1. The name of the pre-need contract purchaser | 4. The total cost of the contract on the date of purchase |
| 2. The contract ID number | 5. The current value of the contract |
| 3. The date of the contract | 6. Clearly identify new, performed and cancelled contracts from the beginning of the year through the date of change in ownership |

Please address each item listed below on the related worksheets provided with this form

SECTION 3, ITEM 1

Please provide a detailed description of the events necessitating the completion of this form.

SECTION 3, ITEM 2

Provide the following information regarding the pre-need trust funds currently held in trust for the entity being acquired:

a) Is the acquiring entity assuming control of the trusted Pre-Need funds? YES NO

b) Who is responsible for providing the goods and services contained in the Pre-Need contracts entered into by the acquired entity?
 Acquired entity Acquiring entity

c) Will the trusted Pre-Need funds remain on deposit with the current trustee? YES NO

If your intent is to transfer the funds, provide the name and address of the new trustee and documentation from the trustee showing the date and amount of the transfer.

SECTION 3, ITEM 3

Please indicate if you will provide written notification to the Pre-Need Purchasers of the change in ownership and, if applicable, the transfer of trust funds.

YES NO

If you answered NO, please explain the reasoning for this decision.

Multiple empty horizontal lines for providing reasoning.

Continued on the following page...

SECTION 3, ITEM 4

Provide a listing of all employees who were licensed as pre-need agents for the acquired entity prior to the merger or acquisition.

Name	Address	Pre-Need Agent License #
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